

Message Text

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ORIGIN ARA-20

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DRAFTED BY ARA:RHGOECKERMANN:MBB:BGT

APPROVED BY ARA:WGBOWDLER

S/P:LEINAUDI(DRAFT)

SCI:JGRANGER(DRAFT)

ARA:JOHNSTON

----- 083762

R 192029Z SEP 74

FM SECSTATE WASHDC

TO AMEMBASSY BUENOS AIRES

AMEMBASSY BRASILIA

AMEMBASSY SANTIAGO

AMEMBASSY BOGOTA

AMEMBASSY LIMA

AMEMBASSY MONTEVIDEO

AMEMBASSY GUATEMALA

AMEMBASSY MEXICO

AMEMBASSY CARACAS

INFO AMEMBASSY NASSAU

AMEMBASSY BRIDGETOWN

AMEMBASSY LA PAZ

AMEMBASSY SAN JOSE

AMEMBASSY QUITO

AMEMBASSY SAN SALVADOR

AMEMBASSY SANTO DOMINGO

AMEMBASSY GEORGETOWN

AMEMBASSY PORT AU PRINCE

AMEMBASSY TEGUCIGALPA

AMEMBASSY KINGSTON

AMEMBASSY MANAGUA

AMEMBASSY PANAMA

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AMEMBASSY ASUNCION

AMEMBASSY PORT OF SPAIN

C O N F I D E N T I A L STATE 206675

E.O. 11652: GDS

TAGS: PFOR

SUBJECT: WORKING GROUP ON SCIENCE AND TRANSFER OF TECHNOLOGY

REF:A)STATE 177423 B)STATE 185220 (REPEATED 8/30/74)

1. SUMMARY: THE PURPOSE OF THIS CABLE IS TO REPORT ON THE PROGRESS AND STATUS OF THIS SUBJECT, TO DELINEATE MORE CLEARLY OUR OBJECTIVES AND THE ELEMENTS OF THE OUTCOME WE ARE SEEKING AND MAY EXPECT, AND TO REQUEST YOUR FURTHER ASSISTANCE IN THE DIALOGUE. ACTION ADDRESSEES ARE REQUESTED TO RESPOND BY OCTOBER 1; INFO ADDRESSEES ARE INVITED TO CONTRIBUTE IF THEY HAVE OR OBTAIN SIGNIFICANT INPUT. IT IS CLEAR TO US THAT THE DISCUSSIONS BEING CONDUCTED IN THE CONTEXT OF THE WORKING GROUP AND ITS SUBGROUPS NEED TO BE COMPLEMENTED BY DEEPER CONSULTATIONS ON AN INDIVIDUAL COUNTRY BASIS, FREED FROM SOME OF THE REGIONAL POLITICAL OVERTONES EVIDENT IN THE GROUP MEETINGS, TO ACHIEVE THE PROGRESS AND GOALS NECESSARY TO COMPLETE THE CHARGE LAID DOWN BY THE MFM. YOUR RESPONSES AND VIEWS WILL BE USED, IN PART, TO DETERMINE THE NECESSITY FOR VISITS IN EARLY OCTOBER TO SELECTED COUNTRIES BY SENIOR WASHINGTON REPRESENTATIVES. YOU ARE AUTHORIZED TO USE THE SUBSTANCE OF THE INFORMATION ON U.S. GOVERNMENT ACTIVITIES AND PREPARATIONS DESCRIBED HEREIN, AS APPROPRIATE, IN YOUR DISCUSSIONS.

2. STATUS OF PREPARATIONS:

(A) A COORDINATING OFFICE HAS BEEN ESTABLISHED IN ARA UNDER THE DIRECTION OF ACTING ASSISTANT SECRETARY BOWDLER WITH AMBASSADOR KEITH GLENNAN AND JOHN JOHNSTON AS ASSOCIATES AND TWO SENIOR STAFF ASSISTANTS.

(B) THE PREPARATIONS ARE BEING MANAGED BY THE COORDINATING COMMITTEE (CC) WHICH INCLUDES REPRESENTATIVES FROM STATE (ARA, S/P, AND SCI), DEPT. OF AGRICULTURE, COMMERCE, TREASURY, NATIONAL SCIENCE FOUNDATION, NATIONAL ACADEMIES OF SCIENCES AND OF ENGINEERING, COUNCIL OF THE AMERICAS, INDUSTRIAL RESEARCH INSTITUTE, AND LICENSING EXECUTIVE SOCIETY. THE CC MEETS PERIODICALLY TO REVIEW POLICY, PLANS, AND DOCUMENTS PREPARED FOR THE INTER-AMERICAN MEETINGS. A STEERING GROUP OF THE CC MEETS MORE FREQUENTLY FOR CONTINUING REVIEW.

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(C) THE CHIEFS OF THE USDEL'S TO THE SUB-GROUPS -- RESPECTIVELY JAMES FOWLER OF A/ID FOR I; DR. RUSSELL DREW, DIRECTOR OF NSF/STPO, FOR II; DR. JOHN GRANGER,

ACTING DIRECTOR OF SCI, FOR III; AND AMBASSADOR BOWDLER FOR IV; -- HEAD SIMILARLY BROAD-RANGE GROUPS RESPONSIBLE FOR THE PREPARATORY WORK IN EACH AREA.

(D) THE ABOVE GROUPS ARE INTENSIVELY REVIEWING THE TERMS OF REFERENCE OF EACH SUB-GROUP WITH RESPECT TO: RELATIONSHIP TO EXISTING COOPERATIVE PROGRAMS, POSSIBILITIES FOR MORE EFFECTIVE UTILIZATION OF OTHER EXISTING USG PROGRAMS AND CAPABILITIES, POSSIBILITIES FOR DEVELOPING NEW PROGRAMS, POSSIBILITIES FOR ADDITIONAL FUNDING AND MANPOWER, ETC. WITH REFERENCE TO THE SUB-GROUP III MEETING IN BRASILIA, WE HAVE SPECIFIC TEAMS WORKING ON EACH POINT RAISED IN THE LATIN PROPOSALS FOR U.S. ACTION AND WILL HAVE PROGRESS REPORTS ON EACH FOR THE CARACAS MEETING IN OCTOBER. AT THIS MEETING WE MADE AN IMPORTANT REAFFIRMATION OF OUR POSITION ON THE PROBLEMS OF TECHNOLOGY TRANSFER WITHIN THE HEMISPHERE WHICH WAS REPORTED TO YOU FOR YOUR GUIDANCE IN REFTEL B.

(E) ON THE DIFFICULT ISSUES RELATED TO CONDITIONS FOR THE TRANSFER OF TECHNOLOGY, THE COORDINATION BETWEEN STATE AND COMMERCE HAS BEEN GREATLY INTENSIFIED AND THE CHANNELS OF CONSULTATION WITH THE PRIVATE SECTOR EXTENSIVELY AMPLIFIED. WE HAVE UNDER JOINT USG/PRIVATE SECTOR DEVELOPMENT POSSIBLE VOLUNTARY GUIDELINES AND GENERAL PRINCIPLES GOVERNING THE TERMS AND CONDITIONS OF TECHNOLOGY TRANSFER (TT) FROM THE U.S. TO L.A. WE ARE EXAMINING THE QUESTION OF A FOCAL POINT WITHIN THE USG FOR TT, TO INTERFACE WITH CONFIDENTIAL

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POSSIBLE INDIVIDUAL OR COLLECTIVE MECHANISMS OF THE LATIN AMERICAN COUNTRIES.

3. U.S. OBJECTIVES AND POSSIBLE OUTCOME:

(A) THE WORKING GROUP MUST INCLUDE ACTIONABLE PROPOSALS FOR THE FOREIGN MINISTERS, NOT ONLY DIAGNOSES.

(B) THE MAJOR U.S. OBJECTIVES ARE:

-- TO MAKE EFFECTIVE DIPLOMATIC USE OF U.S. STRENGTH IN SCIENCE AND TECHNOLOGY AS A MEANS OF STRENGTHENING HEMISPHERIC COOPERATION.

-- TO PLACE TECHNOLOGICALLY-RELATED TRANSACTIONS ON A MORE PREDICTABLE BASIS ALLOWING FOR THE ACTIVE PARTICIPATION OF THE U.S. PRIVATE SECTOR.

(C) PROGRESS ON THE MULTILATERAL, BILATERAL, AND NATIONAL LEVELS IN DEVELOPING NEW "RULES OF THE GAME" IN SCIENCE AND THE TRANSFER OF TECHNOLOGY CAN RESULT IN MUTUAL ADVANTAGES TO THE U.S. AND THE LATIN AMERICANS -- IT IS NOT A "ZERO-SUM" GAME. OUR EFFORTS SHOULD EMPHASIZE NEW PATTERNS OF COOPERATION, RATHER THAN ASSISTANCE, TO SERVE MUTUAL INTERESTS AND REALITIES.

(D) ELEMENTS OF WORKING GROUP RECOMMENDATIONS TO THE MFM: IN OUR PREPARATIONS WE HAVE TRIED TO OUTLINE IN BROAD TERMS THE ELEMENTS OF A NEW APPROACH TO COOPERSTION IN THE S/T FIELD WHICH THE WORKING GROUP MIGHT INCORPORATE INTO ITS REPORT TO THE BUENOS AIRES MFM. THESE STATEMENTS ARE DESIGNED AS GUIDEPOSTS FOR OUR OWN WORKING SUB-GROUPS TO EXPLORE AS THEY DEVELOP THE U.S. POSITION FOR EACH INTER-AMERICAN SUB-GROUP.

(1) EACH LATIN AMERICAN STATE WOULD BE EXPECTED TO IDENTIFY EXISTING MECHANISMS AND PROCEDURES WITHIN THE STATE FOR MAKING TECHNOLOGICAL CHOICES AND DECISIONS IN KEEPING WITH ITS PERCEIVED NEEDS AND GOALS AND WHICH ARE WITHIN THE CAPABILITY OF ITS INTRASTRUCTURE TO ABSORB AND MANAGE. WHERE SUCH MECHANISMS AND PROCEDURES DO NOT EXIST, INDICATIONS OF A DETERMINATION TO UNDERTAKE THEIR DEVELOPMENT WOULD BE EXPECTED.

A KEY TARGET OR OBJECTIVE FOR THE WORKING GROUP IS THE IDENTIFICATION, WITH THE USG, OF ACHIEVABLE AND SUPPORTABLE MECHANISMS WITHIN THE USG AND LAS WHICH CAN BE OF REAL
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ASSISTANCE TO THE LAS IN REACHING THEIR OBJECTIVES IN THIS AREA.

(2) THE LAS, INDIVIDUALLY AND COLLECTIVELY, WOULD BE EXPECTED TO INDICATE THE AREAS OF THEIR PRIORITY INTERESTS IN SCIENCE AND THE TRANSFER OF TECHNOLOGY. EVEN WHERE ALL STATES ARE INTERESTED IN A PARTICULAR AREA, THEIR PRIOR-

ITIES WILL DIFFER, IN ALL PROBABILITY.

THE UNITED STATES SHOULD ANTICIPATE AT LEAST A FEW OF THE INTERESTS THAT MAY BE EXPRESSED BY OUR LATIN COLLEAGUES AND SHOULD BE PREPARED TO IDENTIFY EXISTING MECHANISMS IN THE USG FOR INTERFACING WITH THE DESIGNATED AREAS. THE INITIATIVES OF THE LAS MAY INVOLVE MULTILATERAL AND BILATERAL ACTION AREAS, AND THE INSTITUTIONAL INVOLVEMENTS ON BOTH SIDES SHOULD BE IDENTIFIED FOR FURTHER DEVELOPMENT.

(3) IT CAN BE EXPECTED THAT THE DEVELOPMENT OF A SET OF GUIDELINES FOR THE CONDITIONS OF TECHNOLOGY TRANSFER WILL BE MADE A SUBJECT FOR URGENT DISCUSSION BY THE LAS. THE U.S. GOVERNMENT AND PRIVATE SECTOR SHOULD PURSUE JOINTLY THE DEVELOPMENT OF VOLUNTARY GUIDELINES FOR THE BEHAVIOR AND OPERATIONS IN TECHNOLOGY TRANSFER OF U.S.-BASED COMPANIES WHICH ARE RESPONSIVE TO LATIN CONCERNS, CONSISTENT WITH THE FACT AND SPIRIT OF U.S. LAW, AND FEASIBLE WITHIN OUR CURRENT CONCEPT OF PUBLIC/PRIVATE SECTOR RELATIONS. THE LATINS SHOULD UNDERTAKE COLLECTIVELY THE DEVELOPMENT OF MINIMUM NORMS AND STANDARDS FOR THE RECEIPT OF TECHNOLOGY, WHICH ALSO DELINEATE THEIR RESPONSIBILITIES AND ACCOUNTABILITY, TO BECOME A PART OF SUCH MUTUAL GUIDELINES.

(4) THE U.S. SHOULD DESIGN A FOCAL POINT WITHIN THE GOVERNMENT, OR POSSIBLY AS A PUBLIC CORPORATION ESTABLISHED THROUGH LEGISLATIVE ACTION AND FUNDED ON A MULTI-YEAR BASIS BY THE GOVERNMENT, TO INTERFACE WITH THE LATINOS COLLECTIVELY AND INDIVIDUALLY ON PROBLEMS OF SCIENTIFIC AND TECHNICAL INFORMATION, SOURCES OF ALTERNATIVE TECHNOLOGIES (PUBLIC AND PRIVATE), ACCESS TO GOVERNMENT SPONSORED TECHNOLOGICAL DEVELOPMENT AND KNOW-HOW, INFORMATION ON LEGISLATIVE AND REGULATIVE PROVISIONS, IDENTIFICATION OF R & D CAPABILITY, ASSISTANCE AND ADVICE. THE LATINOS WOULD VERY LIKELY EXPECT SUCH AN OFFICE TO ASSIST THEM TO MONITOR OBSERVANCE OF THE TECHNOLOGY TRANSFER GUIDELINES, INVESTIGATE ALLEGED VIOLATIONS, AND INTERACT WITH U.S. INDUSTRY ON THEIR BEHALF.

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(5) THE IDENTIFICATION OF SOME SPECIFIC INTER-AMERICAN COOPERATIVE PROGRAMS FOR FURTHER STUDY AND POSSIBLE ACTIONS -- E.G., THE DEVELOPMENT OF MARINE SCIENCE IN THE HEMISPHERE THROUGH THE ESTABLISHMENT OF AN INTER-AMERICAN INSTITUTE OR OTHER MEANS, AN INSTITUTE FOR THE SYSTEMS ANALYSIS OF TECHNOLOGICAL DEVELOPMENT, OR SPECIAL TRAINING PROGRAMS IN THE U.S. PUBLIC OR PRIVATE SECTORS. THESE SHOULD BE CHOSEN ON THE BASIS OF MAXIMUM COLLECTIVE INTEREST BY THE LAS AND THEIR WILLINGNESS TO CONTRIBUTE TO THE PROGRAM, LACK OF PRESENT COOPERATIVE ACTION IN THE FIELD UNDER THE OAS OR OTHER PROGRAMS, SPECIAL CAPABILITY OF THE U.S. TO CONTRIBUTE SUBSTANTIVELY TO L.A. DEVELOPMENT IN THE FIELD, ETC.

(6) THE DEVELOPMENT OF NEW INTER-AMERICAN MECHANISMS BASED ON THE CREATIONS OF A NEW GOVERNMENTAL LINKAGE OR THE MODIFICATION OF EXISTING LINKAGES, FOR THE EXAMINATION AND RESOLUTION OF SPECIAL PROBLEMS RAISED BY THE TRANSFER OF TECHNOLOGY ON EITHER SIDE. THE MECHANISMS MIGHT ALSO SERVE AS A CLEARING HOUSE FOR INFORMATION ON TECHNOLOGY DEVELOPMENT AND TRANSFER AND THE BASIS FOR COOPERATIVE PROJECTS IN TECHNOLOGY ABSORPTION, ADAPTATION, AND DEVELOPMENT.

A KEY TARGET OR OBJECTIVE FOR THE WORKING GROUP IS TO PROPOSE MECHANISMS AT THE INTER-GOVERNMENTAL LEVEL WHICH ARE CAPABLE OF DEALING WITH PROBLEMS IN THE PRODUCTIVE SECTOR, PUBLIC AND PRIVATE, IN A MANNER CONSISTENT WITH THE VIEWS OF ALL PARTIES ON THE RELATIONSHIPS BETWEEN PRIVATE INDUSTRY AND THE GOVERNMENT.

(7) EACH OF THE ITEMS 1-6 WILL INVOLVE COMMITMENTS OF APPROPRIATE USG AND PRIVATE RESOURCES IF THEY ARE TO BE ACCEPTED FOR IMPLEMENTATION. THE RESOURCES SHOULD NOT ONLY INVOLVE FINANCIAL COMMITMENT, WITH CONSIDERATION OF

THE RELATION TO LATIN COUNTERPART ACTIONS, BUT MUST IN-
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VOLVE REAL PARTICIPATION OF U.S. GOVERNMENT AGENCIES AND
U.S. PUBLIC AND PRIVATE INSTITUTIONS, IN A MANNER COMPLE-
MENTARY TO PRESENT MULTILATERAL ACTIVITIES UNDER THE OAS.
AN ASSESSMENT OF THE MAGNITUDE OF THE RESOURCES BELIEVED
TO BE REQUIRED WILL BE NECESSARY IF WE ARE TO GAIN
ACCEPTANCE OF THIS PACKAGE FROM THE SECRETARY AND OTHER
INTERESTED PARTIES.

4. ASSISTANCE REQUESTED:

(A) WE WOULD LIKE THE VIEWS OF THE EMBASSY ON THE RELI-
ABILITY, ACCURACY, AND POLICY INFLUENCE OF THE LAS
REPRESENTATIVES PARTICIPATING FOR THEIR COUNTRIES IN THE
WORKING GROUP AND SUB-GROUP DIALOGUES. HOW SERIOUSLY
ARE WE TO TAKE THEIR EXPRESSIONS OF THE COUNTRY'S
POSITION?

(B) WE SUGGEST SPECIFIC CONTACTS WITH THE INDIVIDUALS
IDENTIFIED IN THE RESPONSES TO THE REFTEL, WITH THE
HIGHEST AVAILABLE AND KNOWLEDGEABLE OFFICIAL IN THE
FOREIGN MINISTRY, AND WITH THE CHIEF REPRESENTATIVE OF
THE COUNTRY AT THE JUNE WORKING GROUP MEETING IF HE IS
NOT INCLUDED AMONG THE AFORESAID TO DETERMINE THE
FOLLOWING:

(1) WHO ELSE IS WORKING WITH THE REPRESENTATIVE AND HOW IS THE WORK OF DIFFERENT
SUB-GROUPS COORDINATED?

(2) WHAT EXPECTATIONS DO THEY HAVE FOR THE
FINAL OUTCOME?

(3) WHAT ARE THEIR PRIORITY INTERESTS?

(4) WHO WOULD REPRESENT THE COUNTRY ON A
JOINT COMMISSION IF ONE IS FORMED?

(5) ARE THEY PREPARED TO COMMIT THEIR OWN
FUNDS TO AN INCREASED JOINT EFFORT?
WHO WOULD DECIDE? HOW MUCH?

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(6) HAVE THEY CONSULTED LOCAL INDUSTRIAL
LEADERS, OF BOTH PUBLIC AND PRIVATE
SECTORS, ON THE SPECIFICS OF THE TERMS
OF REFERENCE?

(7) WHAT FUNCTIONS, FOR THE COUNTRY AND REGION, DO THEY FEEL WOULD BE USEFULLY SERVED BY A FOLLOW-ON MECHANISM? WHAT ARE THEIR PRIORITIES FOR THESE FUNCTIONS?

(8) AT WHAT LEVEL SHOULD FOLLOW-ON MECHANISM(S) BE ORGANIZED?

(9) WHAT ROLE OR RELATIONSHIP SHOULD OAS PLAY?

(C) WE WOULD LIKE YOUR VIEWS ON THE APPROPRIATENESS AND USEFULLNESS OF A VISIT BY SENIOR WASHINGTON REPRESENTATIVES TO SELECTED ADDRESSEES TO DEVELOP FURTHER THESE ISSUES IN OCTOBER. KISSINGER

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